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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/541,765	04/03/2000	Mareike Klee	PHD 99.046	4722
24737	7590	11/16/2004	EXAMINER	
PHILIPS INTELLECTUAL PROPERTY & STANDARDS P.O. BOX 3001 BRIARCLIFF MANOR, NY 10510			THOMAS, ERIC W	
			ART UNIT	PAPER NUMBER
			2831	

DATE MAILED: 11/16/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/541,765

Applicant(s)

KLEE ET AL.

Examiner

Eric W Thomas

Art Unit

2831

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 14 October 2004.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1 and 3-12 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1 and 3-12 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some \* c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_

## **INTRODUCTION**

The examiner acknowledges, as recommended in the MPEP, the applicant's submission of the amendment dated 10/14/04. At this point, claims 1, 9-12 have been amended. Thus claims 1, 3-12 are pending in the instant application.

## **DETAILED ACTION**

### ***Continued Examination Under 37 CFR 1.114***

1. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 10/14/04 has been entered.

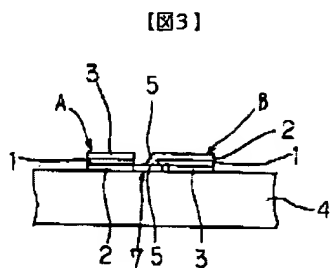
### ***Claim Rejections - 35 USC § 102***

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

1. Claims 1, and 6 are rejected under 35 U.S.C. 102(b) as being anticipated by Konushi et al. (JP 10-335179).



Konushi et al. disclose in fig. 3, a ceramic passive component that comprises a carrier substrate (4), at least one first electrode (2) formed of a metal material (paragraph 34) and having a first surface disposed, directly on the substrate, at least one thin film dielectric (1) of a thickness in the range of about 0.25-0.75  $\mu\text{m}$  (paragraph 29) having a first surface disposed on a second surface of the at least one first electrode opposing said first surface of the at least one first electrode and at least one second electrode (3) disposed on a second surface of the at least one dielectric opposing said first surface of the at least one dielectric (1); wherein the at least one dielectric comprises a ferroelectric ceramic material with a voltage-dependent relative dielectric constant  $\epsilon_r$  (inherent feature of the claimed material— $\text{SrTiO}_3$ ), and wherein the ferroelectric ceramic material with a voltage-dependent dielectric constant is a  $(\text{Ba}_{1-x}\text{Sr}_x)\text{TiO}_3$  wherein  $x = 1$  (see paragraph 35 – It is noted that applicant amended the  $\text{Ba}_{1-x}\text{Sr}_x\text{TiO}_3$  ( $0 \leq x < 1$ ) but did not amend the  $(\text{Ba}_{1-x}\text{Sr}_x)\text{TiO}_3$  wherein ( $0 \leq x \leq 1$ ) to  $(\text{Ba}_{1-x}\text{Sr}_x)\text{TiO}_3$  ( $0 \leq x < 1$ ) and it is further noted that  $\text{SrZr}_x\text{Ti}_{1-x}\text{O}_3$  ( $0 \leq x \leq 1$ ) without dopants further meets the claimed material). Konushi et al. also discloses the material is formed from a PZT ( $\text{Pb}(\text{Zr}_x\text{Ti}_{1-x})\text{O}_3$  ( $0 \leq x \leq 1$ ), and PLZT)

Regarding claim 6, Konushi et al. disclose the carrier substrate comprises a ceramic material (see paragraph 33).

2. Claims 1, 3-5, 8 are rejected under 35 U.S.C. 102(e) as being anticipated by Konushi et al. (US 6,104,597).

Konushi et al. disclose in fig. 9A, a ceramic passive component that comprises a carrier substrate (4), at least one first electrode (2) formed of a metal material (col. 5 lines 40-50) and having a first surface disposed, directly on the substrate, at least one thin film dielectric (1) of a thickness in the range of about 0.25-0.75  $\mu\text{m}$  (col. 5 lines 5-15) having a first surface disposed on a second surface of the at least one first electrode opposing said first surface of the at least one first electrode and at least one second electrode (3) disposed on a second surface of the at least one dielectric opposing said first surface of the at least one dielectric (1); wherein the at least one dielectric comprises a ferroelectric ceramic material with a voltage-dependent relative dielectric constant  $\epsilon_r$  (inherent feature of the claimed material— $\text{SrTiO}_3$ ), and wherein the ferroelectric ceramic material with a voltage-dependent dielectric constant is a  $\text{Ba}_{1-x}\text{Sr}_x\text{TiO}_3$  wherein  $x = 1$  (see col. 5 lines 60-67— It is noted that applicant amended the  $\text{Ba}_{1-x}\text{Sr}_x\text{TiO}_3$  ( $0 \leq x < 1$ ) but did not amend the  $(\text{Ba}_{1-x}\text{Sr}_x)\text{TiO}_3$  wherein ( $0 \leq x \leq 1$ ) to  $(\text{Ba}_{1-x}\text{Sr}_x)\text{TiO}_3$  ( $0 \leq x < 1$ ) and it is further noted that  $\text{SrZr}_x\text{Ti}_{1-x}\text{O}_3$  ( $0 \leq x \leq 1$ ) without dopants further meets the claimed material). Konushi et al. also discloses the material is formed from a PZT ( $\text{Pb}(\text{Zr}_x\text{Ti}_{1-x})\text{O}_3$  ( $0 \leq x \leq 1$ ), and PLZT).

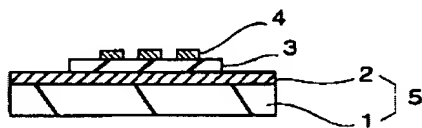
Regarding claim 3, Konushi et al. disclose in fig. 3, the second electrode includes a first electrically conducting layer (9) and a second electrically conducting layer (3).

Regarding claim 4, Konushi et al. disclose the first electrically conducting layer of the at least one second comprises Cr (see col. 5 lines 50-55)

Regarding claim 5, Konushi et al. disclose the second electric conducting layer of the at least one second electrode comprises a metal material (see col. 5 lines 40-50).

Regarding claim 8, Konushi et al. illustrate in fig. 9A, a protective layer (4) is laid over the entire component.

3. Claims 1 and 6 are rejected under 35 U.S.C. 102(b) as being anticipated by Abe et al. (US 5,760,432).



**FIG. 1(B)**

Abe et al. disclose in fig. 1b, a ceramic passive component that comprises a carrier substrate (1), at least one first electrode (2) formed of a metal material (example 1) and having a first surface disposed, directly on the substrate, at least one thin film dielectric (3) of a thickness in the range of about 0.25-0.75  $\mu\text{m}$  (col 5 lines 60-67 and col 6 lines 1-3) having a first surface disposed on a second surface of the at least one first electrode opposing said first surface of the at least one first electrode and at least one second electrode (4) disposed on a second surface of the at least one dielectric opposing said first surface of the at least one dielectric (1); wherein the at least one dielectric comprises a ferroelectric ceramic material with a voltage-dependent relative

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dielectric constant  $\epsilon_r$  (inherent feature of the claimed material—  $\text{Ba}_{0.85}\text{Sr}_{0.15}\text{TiO}_3$ , &  $(\text{Ba}_{0.85}\text{Sr}_{0.15})\text{TiO}_3$  and wherein the ferroelectric ceramic material with a voltage-dependent dielectric constant is a  $(\text{Ba}_{1-x}\text{Sr}_x)\text{TiO}_3$  wherein  $x = 0.15$ .

Regarding claim 6, Abe et al. disclose the carrier substrate is an oxide ceramic (MgO).

### ***Claim Rejections - 35 USC § 103***

3. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).

5. Claim 7 is rejected under 35 U.S.C. 103(a) as being unpatentable over Konushi et al. (US 6,104,597) in view of Klee et al. (US 6,125,027).

Konushi et al. disclose the claimed invention except for the at least one dielectric layer multiple layers.

Klee et al. teach that it is common in the capacitor art to form a dielectric layer from multiple layers (see col. 3 lines 45-55).

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to modify the capacitor of Konushi et al. by using multiple dielectric layers as taught by Klee et al., since such a modification would improve the electrical properties of the dielectric layer.

4. Claims 3-5, 8 are rejected under 35 U.S.C. 103(a) as being unpatentable over Abe et al. (US 5,760,432) in view of Konushi et al. (US 6,104,597).

Regarding claim 3, Abe et al. disclose the claimed invention except for the at least one first electrode or the at least one second electrode comprises at least a first and second electrically conducting layer.

Konushi et al. teach in fig. 3 that it is known in the capacitor art to form a second electrode having a first electrically conducting layer (9) and a second electrically conducting layer (3).

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to form the upper electrode of Abe et al. using the second electrode of Konushi et al., since it has been held to be within the general skill of a worker in the art to select a known material on the basis of its suitability for the intended use as a matter of obvious design choice. In re Leshin, 125 USPQ 416.

Regarding claim 4, Konushi et al. teach that the first electrically conducting layer of the at least one second comprises Cr (see col. 5 lines 50-55)



Regarding claim 5, Konushi et al. teach that the second electric conducting layer of the at least one second electrode comprises a metal material (see col. 5 lines 40-50).

Regarding claim 8, Abe et al. disclose the claimed invention except for a protective layer is laid over the entire component.

Konushi et al. teach the use of (fig. 9A) a protective layer (4) laid over the entire component.

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to modify the capacitor of Abe et al. by forming a protective layer over the entire component as taught by Konushi et al., since such a modification would protect the capacitive element from an external environment.

6. Claim 7 is rejected under 35 U.S.C. 103(a) as being unpatentable over Abe et al. (US 5,760,432) in view of Klee et al. (US 6,125,027).

Abe et al. disclose the claimed invention except for the at least one dielectric layer multiple layers.

Klee et al. teach that it is common in the capacitor art to form a dielectric layer from multiple layers (see col. 3 lines 45-55).

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to modify the capacitor of Abe et al. by using multiple dielectric layers as taught by Klee et al., since such a modification would improve the electrical properties of the dielectric layer.

5. Claim 9 is rejected under 35 U.S.C. 103(a) as being unpatentable over Konushi et al. (JP 10-335179) in view of Buswell et al. (US 4,156,211).

Konushi et al. disclose capacitive component comprising: a ceramic passive component which comprises a carrier substrate (4), at least one first electrode (2) formed of a metal material and having a first surface disposed directly on the substrate, at least one thin film dielectric (1) of a thickness in the range of about 0.25-0.75  $\mu\text{m}$  (paragraph 29) having a first surface disposed on a second surface, opposed to said first surface of the at least first electrode, and at least a second electrode (3) disposed on a second surface of the at least one thin film dielectric, opposed to said first surface of the at least one dielectric, wherein the at least one thin film dielectric (5) comprises a ferroelectric ceramic material with a voltage-dependent relative dielectric constant  $\epsilon_r$  (inherent feature of the claimed material— $\text{SrTiO}_3$ ).

Konushi et al. disclose the claimed invention except for the capacitive component is mounted with other components on a voltage-controlled oscillator.

Buswell et al. teach that it is known mount capacitors with other components on a voltage-controlled oscillator (col. 2 lines 1-10).

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to mount the capacitor of Konushi et al. on the voltage-controlled oscillator that comprises other components, since such a modification would provide an electrical system for the capacitor of Konushi et al. to operate in, and provide the system of Buswell et al. with a capacitor having large capacitance and low inductance.

6. Claim 10 is rejected under 35 U.S.C. 103(a) as being unpatentable over Konushi et al. (JP 10-335179) in view of Teague et al. (US 4,468,644).

Konushi et al. disclose capacitive component comprising: a ceramic passive component which comprises a carrier substrate (4), at least one first electrode (2) formed of a metal material and having a first surface disposed directly on the substrate, at least one thin film dielectric (1) of a thickness in the range of about 0.25-0.75  $\mu\text{m}$  (paragraph 29) having a first surface disposed on a second surface, opposed to said first surface of the at least first electrode, and at least a second electrode (3) disposed on a second surface of the at least one thin film dielectric, opposed to said first surface of the at least one dielectric, wherein the at least one thin film dielectric (5) comprises a ferroelectric ceramic material with a voltage-dependent relative dielectric constant  $\epsilon_r$  (inherent feature of the claimed material— $\text{SrTiO}_3$ ).

Konushi et al. disclose the claimed invention except for the capacitive component is mounted with other components on a filter.

Teague et al. teach that it is known to mount a capacitor with other components on a filter (col. 3 lines 5-21).

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to mount the capacitor of Konushi et al. on the filter that comprises other components, since such a modification would provide an electrical system for the capacitor of Konushi et al. to operate in, and provide the system of Teague et al. with a capacitor having large capacitance and low inductance.

7. Claim 11 is rejected under 35 U.S.C. 103(a) as being unpatentable over Konushi et al. (JP 10-335179) in view of Gayle (US 5,801,601).

Konushi et al. disclose capacitive component comprising: a ceramic passive component which comprises a carrier substrate (4), at least one first electrode (2) formed of a metal material and having a first surface disposed directly on the substrate, at least one thin film dielectric (1) of a thickness in the range of about 0.25-0.75  $\mu\text{m}$  (paragraph 29) having a first surface disposed on a second surface, opposed to said first surface of the at least first electrode, and at least a second electrode (3) disposed on a second surface of the at least one thin film dielectric, opposed to said first surface of the at least one dielectric, wherein the at least one thin film dielectric (5) comprises a ferroelectric ceramic material with a voltage-dependent relative dielectric constant  $\epsilon_r$  (inherent feature of the claimed material— $\text{SrTiO}_3$ ).

Konushi et al. disclose the claimed invention except for the capacitive component is mounted with other components on a delay line.

Gayle teaches that it is known mount capacitors with other components on a delay line (col. 3 lines 5-21).

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to mount the capacitor of Konushi et al. on the delay line that comprises other components, since such a modification would provide an electrical system for the capacitor of Konushi et al. to operate in, and provide the system of Gayle with a capacitor having large capacitance and low inductance.

8. Claim 12 is rejected under 35 U.S.C. 103(a) as being unpatentable over Konushi et al. (JP 10-335179) in view of Jantunen et al. (US 5,923,233)

Konushi et al. disclose capacitive component comprising: a ceramic passive component which comprises a carrier substrate (4), at least one first electrode (2) formed of a metal material and having a first surface disposed directly on the substrate, at least one thin film dielectric (1) of a thickness in the range of about 0.25-0.75  $\mu\text{m}$  (paragraph 29) having a first surface disposed on a second surface, opposed to said first surface of the at least first electrode, and at least a second electrode (3) disposed on a second surface of the at least one thin film dielectric, opposed to said first surface of the at least one dielectric, wherein the at least one thin film dielectric (5) comprises a ferroelectric ceramic material with a voltage-dependent relative dielectric constant  $\epsilon_r$  (inherent feature of the claimed material— $\text{SrTiO}_3$ ).

Konushi et al. disclose the claimed invention except for the capacitive component is mounted with other components on a component with a tunable capacitance.

Jantunen et al. teach that it is known to mount a capacitor with other components on a component with a tunable capacitance. (col. 3 lines 5-21).

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to mount the capacitor of Konushi et al. on the component with a tunable capacitance that comprises other components, since such a modification would provide an electrical system for the capacitor of Konushi et al. to operate in, and provide the system of Jantunen et al. with a capacitor having large capacitance and low inductance.

**Conclusion**

In order to ensure full consideration of any amendments, affidavits, or declaration, or other documents as evidence of patentability, such documents must be submitted in response to this Office action. Submissions after the next Office action, which is intended to be a final action, will be governed by the requirements of 37 CFR 1.116 which will be strictly enforced.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Eric W Thomas whose telephone number is 571-272-1985. The examiner can normally be reached on M,Tu,Sat 9 am - 9:30 pm; W, Th, F 6 pm -10:00 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Dean Reichard can be reached on 571-272-1984. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).



11/13/04

Eric W Thomas  
Examiner  
Art Unit 2831